

HHA Survey Investigation Worksheet 1: Patient Sample

Agency Name/CCN: _____ Survey Date: _____

Surveyor Name/ID #: _____ RR Date: _____ HV date if applicable: _____

Patient Name/Confidential ID #: _____ Referral Date: _____ SOC: _____

Primary/Secondary Diagnoses: _____

Discipline(s) ordered: (circle): SN _{PT} OT SLP MSW Aide

Discipline observed during HV (circle): RN LPN PT PTA _{OT} COTA SLP MSW SW Asst Aide

Attach copies of current plan of care, medication profile, & subsequent orders, ADL & IADL OASIS items, Aide plan (if applicable) and any other documentation related to findings.

REFER TO APPENDIX B FOR FULL REGULATION TEXT AND INTERPRETIVE GUIDELINES

CoPs and Related G Tags (Level 1 G tags in bold print)	Comments (Indicate if determined by RR or HV)	Not Applicable /NA
484.10 Patient Rights (G100) -Documentation of complaints with investigation and resolution (G107) -Participated in POC development (G 109) Home Visit Probes: -Knowledgeable about rights as a home care patient -Information about rights provided prior to care Level 2 Standards: -Informed of rights (G101) -Informed regarding care provided and changes (G108) -Confidentiality of record maintained (G111) -Informed of payment prior to care (G114) Other: G102, G103, G104, G105, G106, G110, G112, G113, G115, G116		
484.11 Release of Patient Identifiable OASIS Information (G310)		
484.12 Compliance with Federal, State and Local Laws, Disclosure of Ownership Information, and Accepted Professional Standards and Principles (G117) Compliance with accepted professional standards & principles (G121) Level 2 Standards: -Compliance with laws and regulations (118) -Other: G119, G120		

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<p>484.14 Organization, Services, and Administration Rights (G122)</p> <p>-Identifiable lines of authority in place (G123)</p> <p>-Administrator organizes/directs agency functions (G133)</p> <p>-Coordination of services (G143)</p> <p>-Documentation of case conferences (G144)</p> <p>Level 2 Standards:</p> <p>-Administrative/Supervisory functions not delegated (G124)</p> <p>-Monitor/control of non-direct services (G125)</p> <p>-Qualified person in absence of Administrator (G137)</p> <p>-SN & Therapy services under the supervisions & direction of a physician or RN during all operating hours (G138,139)</p> <p>-Certification for all level of Lab testing done (G150)</p> <p>Other: G126, G127, G128, G129, G130, G131, G132, G134, G135,G136 G140, G141, G142, G145, G146, G147, G148, G149</p>		
<p>484.16 Group of Professional Personnel (G151)</p> <p>G152, G153, G154, G155</p>		
<p>484.18 Acceptance of Patients, POC, Medical Supervision (G156)</p> <p>-Agency accepts patient for whom can meet needs (G157)</p> <p>-Care follows written POC (G158)</p> <p>-POC complete and consistent with assessment (G159)</p> <p>-Physician alerted to changes (G164)</p> <p>-Drugs/treatments administered as ordered (G165)</p> <p>-Verbal orders by responsible RN/therapist (G166)</p> <p>Level 2 Standards:</p> <p>-Physician approval to complete POC (G160)</p> <p>-Therapist/other staff participate POC development (G162)</p> <p>-POC review at least every 60 days (G163)</p> <p>Other: G161, G300</p>		
<p>484.20 Reporting OASIS Information (G320)</p> <p>G321, G322, G323, G324, G325, G326, G327</p>		

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<p><i>484.30 Skilled Nursing Services (G168)</i></p> <p>-RN follows POC (G170)</p> <p>-RN Regularly re-evaluates patient needs (G172)</p> <p>-RN initiates POC & all revisions (G173)</p> <p>-RN provides services requiring skills (G174)</p> <p>-RN initiates preventive/rehabilitative procedures (G175)</p> <p>-RN documents and coordinates care (G176)</p> <p>-RN counsels patient/family re. nursing needs (G177)</p> <p>Level 2 Standards:</p> <p>-Nursing care under RN supervision (G169)</p> <p>-LPN provides care in accordance with HHA policies (G179)</p> <p>Other: G171, G178, G180, G181, G182, G183</p>		
<p><i>484.32 Therapy Services (G184)</i></p> <p>-Therapist evaluates & assists POC (G186)</p> <p>-Therapist documents care (G187)</p> <p>-Therapist consults with family & staff (G188)</p> <p>Level 2 Standards:</p> <p>-Qualified PT or OT supervises assistants appropriately (G190)</p> <p>-SLP services furnished/supervised appropriately (G193)</p> <p>Other: G185, G189, G191, G192</p>		

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484.34 Medical Social Services (G194) -Provided by qualified staff & according to POC (G195) -Participates in POC development (G196) -Prepares clinical and progress notes (G197) -Works with family (G198) -Uses community resources (G199) -Participates in discharge planning & in-services (G200) -Consults with other agency staff (G201)		
484.36 Home Health Aide Services (G202) -Written home health aide instructions (G224) -Aide supervision timely and appropriate (G229) Level 2 Standards: -Aide competency requirements met (G212) -12 Hrs of in-services during each 12 month period (G215) -Aides follows POC (G225) -Aide performs hands-on care (G226) -60 day supervisory visits for non-skilled patients (G230) -Agency responsible for aide care under arrangement (G232) Other: G203, G204, G205, G206, G207, G208, G209, G210, G211, G213, G214, G216, G217, G218, G219, G220, G221, G222, G223, G227, G228, G231, G233, G301, G302		
484.48 Clinical Records (G235) -Complete & follows professional standards (G236) Level 2 Standards: -Records safeguarded against loss/unauthorized use (G239) Other: G237, G238, G240, G241, G303 Probes: -If record incomplete, ask for unfiled documentation -Determine whether clinicians consistently document vital signs, pain, & significant treatment & response to interventions? -Are record corrections made appropriately? -Do closed records contain discharge summaries? -Do records contain 60-day summaries?		

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484.52 Evaluation of the Agency's Program (G242) G243, G244, G245, G246, G247, G248, G249, G250, G251		
484.55 Comprehensive Assessment of Patients (G330) -RN conducts initial comprehensive assessment (G331) -Initial assessment within 48 hours/MD order (G332) -Comprehensive assessment completed in 5 days (G334) -RN completion of comprehensive assessment (G335) -Therapist can complete therapy only assessment (G336) -Drug regimen review complete (G337) -Comprehensive assessment updated as needed (G338) -Comp assessment updated after hospitalization (G340) Level 2 Standards: -Recert assessment within 5 days of 60-day episode (G339) -Discharge assessment (G341) Other: G333, G342		

Summary Comments/Corroborating Interviews (Document date, time, name/title of interviewee); Note: Surveyor Notes Worksheet (form CMS 807) is an alternative.